

AKZ



I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450 on the date set forth below

Karen Malatesta  
Depositor's Signature – Karen Malatesta  
May 9 2006  
Date

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants:	Cetel et al.	Docket No.	EH-10559
Serial No.:	10/023,565	Examiner:	J. P. Sheehan
Filed:	December 18, 2001	Art Unit:	1742
Title:	High Strength, Hot Corrosion And Oxidation Resistant, Directionally Solidified Nickel Base Superalloy And Articles	Date:	May 9, 2006

Mail Stop APPEAL  
Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

Sir:


RESPONSE TO NOTIFICATION OF NON-COMPLIANT APPEAL BRIEF

This is a response to the "Notification of Non-Compliant Appeal Brief" dated April 11, 2006.

In the Notice, the Examiner asserted certain defects in the Appeal Brief. In response, Applicants have reviewed the Notice and have amended the brief to include a concise explanation of the subject matter defined in the independent claims, including reference to the specification by page/line number and to the drawings. A replacement Appeal Brief is also enclosed herewith.

Please charge any fees to our Deposit Account No. 21-0279, Order No.  
EH-10559.

Respectfully submitted,

By 

F. Tyler Morrison  
Registration No. 36,220  
Attorney for Applicants

Pratt & Whitney  
Patent Department  
Mail Stop 132-13  
400 Main Street  
East Hartford, CT 06108  
Tel: 860-565-3120  
Fax: 860-557-9883

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450 on the date set forth below

Karen Malatesta  
Depositor's Signature – Karen Malatesta  
May 9, 2006  
Date

IN THE UNITED STATES PATENT & TRADEMARK OFFICE

Applicants: Cetel, et al. Docket No: EH-10559  
Serial No: 10/023,565 Examiner: J.P. Sheehan  
Filed: Dec. 18, 2001 Art Unit: 1742  
Title: HIGH STRENGTH, HOT CORROSION AND OXIDATION Date: 9 May 2006  
RESISTANT, DIRECTIONALLY SOLIDIFIED NICKEL BASE  
SUPERALLOY AND ARTICLES

Mail Stop APPEAL  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

**APPLICANTS' APPEAL BRIEF**

I. *Real Party In Interest*

The real party in interest is United Technologies Corporation, as assignee of the entire right, title and interest in the application.

II. *Related Appeals*

There are no related appeals.

III. *Status of Claims*

Claims 1 – 3 and 5 - 14 stand finally rejected. There are no other pending claims.

#### IV. *Status of Amendments*

There are no non-entered amendments. A copy of the full text and status of all claims is set forth in Section 9, *Appendix*.

#### V. *Summary of the Claimed Subject Matter*

As set forth in claim 1, a directionally solidified article which comprises a high strength, corrosion and oxidation resistant nickel base superalloy including about 0.4 to 1.5 vol. % of a phase based on tantalum carbide, and consists essentially of (in weight percent) 10 - 13.5% chromium; 8 - 10% cobalt; 1.25 - 2.5% molybdenum; 3.25 - 4.25% tungsten; 4.5 - 6% tantalum; 3.25 - 4.5% aluminum; 3 - 4.75% titanium; 0.0025 - 0.025% boron; up to about 0.05% zirconium (no intentional additions); 0.05 - 0.15% carbon; and having no intentional addition of niobium; no intentional addition of hafnium; and balance essentially nickel. Aluminum + titanium is between about 6.5 - 8%. (see, e.g., page 5, lines 10 - 16).

The articles have at least comparable hot corrosion resistance (at 1600 F) (see FIG. 2 and page 6, lines 19 - 26), and at least at least equal oxidation resistance (at 2000F) (see FIG. 3, page 7, lines 1 - 6) to directionally solidified articles having a nominal composition of 14 Cr, 4.9 Ti, 1.5 Mo, 3.8 W, 2.8 Ta, 3 Al, 9.5 Co, 0.01 B, 0.02 Zr, 0.1 C, and balance Ni.

As set forth in claim 9, a high strength, corrosion resistant, nickel base superalloy adapted for use in columnar grain directionally solidified articles, comprises (in weight percent) about 12 % chromium; 9 % cobalt; 1.9 % molybdenum; 3.8 % tungsten; 5 % tantalum; 3.6 % aluminum; 4.1 % titanium; 0.015 % boron; 0.1% carbon; and having no intentional addition (and in any event less than about 0.02) zirconium and no intentional amount of niobium; balance essentially nickel and incidental impurities. Aluminum + titanium is between about 6.5 - 8 %. The alloy includes a matrix containing from about 0.4 to 1.5 vol. % of a phase based on tantalum carbide (see page 5, lines 14 - 16 and 19 - 23). The article is characterized by oxidation resistance at 2000° F of roughly 2.5 times better (FIG. 2 and page 6, lines 20 - 27), and creep rupture life at 1400° F of roughly 2.4 times better (FIGS.

4 – 6 and page 7, lines 7 – 10) than a similar article having a nominal composition of 14 Cr, 4.9 Ti, 1.5 Mo, 3.8 W, 2.8 Ta, 3 Al, 9.5 Co, 0.01 B, 0.02 Zr, 0.1 C, and balance Ni.

VI. *Grounds of Rejection to be Reviewed on Appeal*

- a. Whether the Examiner properly rejected claims 1 – 3 and 5 - 14 under 35 U.S.C. § 103 as allegedly unpatentable over WO99/67435 to Esser ?
- b. Whether the Examiner properly rejected claims 1 – 3 and 5 - 14 under 35 U.S.C. § 103 as allegedly unpatentable over EP 0 855 449 to Mitsuhashi et al.?
- c. Whether the Examiner properly rejected the claims for double patenting over commonly assigned application US2004/0200459 ?

VII. *Argument*

a. Claims 1 – 3 and 5 – 14 are patentable over WO99/67435 to Esser: Esser is directed to a “directionally solidified casting with improved transverse stress rupture strength”. Initially, Applicants agree with the Examiner that Esser does not teach the same alloy proportions; does not disclose (either as requiring or precluding) the use of Zr; and is silent with respect to the properties recited in the claims.

Esser appears to have started with the single crystal alloy of U.S. Pat. No. 4,597,809 to Duhl; tried to cast the Duhl (single crystal) alloy in directionally solidified form; and asserted (page 1 of Esser) that certain properties were insufficient. Esser then tried to “convert” the Duhl ‘809 single crystal alloy by changing the composition for use as a directionally solidified (columnar grain) form. From Tables I and II in Esser, it appears that C content – rather than B content or any suggestion (outside of Esser) of Zr content - is what drives the desirable results (good DS castings - comparing the results of heat 1, with those of 1A and 2).

According to one embodiment in Esser (pp. 4 – 5), a nickel base superalloy consists essentially of 9.5% to 14% Cr, about 7% to 11% Co, about 1% to 2.5% Mo, about 3% to 6% W, about 1% to 6% Ta, about 3% to 4% Al, about 3% to 5% Ti, about 0 to 1% Nb, and balance essentially Ni and B present in an amount effective to substantially improve transverse stress rupture strength of a DS casting as compared to a similar casting without

boron present. There is no mention of Zr content (if any), and no mention of C content (if any), although the existence of other embodiments that do explicitly contain C suggests that this particular embodiment includes no C.

In a “particularly preferred” embodiment (page 5), a casting composition consists essentially of 11.6% to 12.70% Cr, about 8.50 to 9.5% Co, about 1.65% to 2.15% Mo, about 3.5% to 4.10% W, about 4.80% to 5.20% Ta, about 3.40 to 3.80% Al, about 3.9% to 4.25% Ti, about 0.05% to 0.11% C, about 0.003% to 0.015% B, and balance essentially Ni, and is castable to provide a directionally solidified columnar grain microstructure. The microstructure of the columnar grain casting typically includes about 0.4 to about 1.5 volume % of a phase based on tantalum carbide. Again, there is no mention of any Zr content, although the absence of another embodiment that does include any Zr (and the “consisting” language) suggests that there is no Zr in this “most preferred” alloy.

In Esser, the castings were heat treated—at a temperature of about 2300 F (page 8, line 15). Such a heat treatment, applied to the present invention, would destroy the part.

As compared to independent claim 1 of the present invention, the Esser alloy does overlap significant portions of the inventive alloys set forth in claims 1 and 12 – including Cr, Co, Mo, W, Ta, Al, Ti and C. With respect to B content, while there appear to be some overlap between Esser and the present invention, Esser seems to suggest (Tables I and II) that lower B levels (below about 0.01 wt. %) result in alloys that are not useful for directionally solidified parts. In other words, Esser seems to suggest that lower B levels would result in a useless alloy. *On this issue at least, Esser seems to teach away from the present invention (see, e.g., Mod 4 on p. 6 of the present application).*

In addition, Esser does not overlap with claims 1 or 12 for Zr content.

Moreover, Esser does not teach or suggest any oxidation or corrosion resistance values, let alone the improved (unexpectedly so, given the similarity of the compositions values of present independent claims 1 and 12.

For at least the foregoing reasons, Applicants submit that Esser does not teach or suggest the invention as set forth in independent claims 1 and 12. The dependent claims

further define the inventions of their respective independent claims, and are thus deemed further patentable. At least with reference to B and Zr content, Applicants respectfully submit that the references to In Re Peterson, etc are not apposite.

b. Claims 1 – 3 and 5 – 14 are patentable over EP 0 855 449 to Mitsuhashi.

Mitsuhashi is directed to columnar crystalline Ni-base heat resistant alloy having high resistance to intragranular corrosion at high temperatures; method of producing the alloy; large size article; and method of producing large size article from the alloy. The alloy is “free of Zr (page 3, line 40) and includes 12 – 14.3 Cr, 8.5 – 11 Co, 1 – 3.5 Mo, 3.5 – 6.2 W, 3 – 5.5 Ta, 3.5 – 4.5 Al, 2 – 3.2 Ti, 0.04 – 0.12 C, 0.005 – 0.05 B, bal Ni.

On page 4, lines 17 – 18, there seems also to be a desire to include small but measurable amount of Pt, Rh, and Re, and Ca and Mg. See also, claim 1. These elements are not included in the alloy of the present invention.

The castings are HIPd at ~ 2150 – 2300 for 1 – 5 hours, and then heat treated at a temperature of 2200 – 2300 F for 2 – 5 hours. At these temperatures, parts prepared according to the present invention would not be useful. However, with reference to page 9, line 56 – page 10, line 5, Mitsuhashi seems to suggest that the absence of Zr is beneficial to suppressing localized melting at higher temperatures, e.g., associate with the solution heat treatments used by Mitsuhashi. Such a heat treatment is not required to get adequate results with the present invention alloys.

As noted above with respect to Esser, Mitsuhashi as compared to independent claim 1 of the present invention, does overlap significant portions of the inventive alloys set forth in claims 1 and 12 – including Cr, Co, Mo, W, Ta, Al, Ti and C. With respect to B content, while there appear to be some overlap between Mitsuhashi and the present invention, also seems to suggest that lower B levels (in this case below about 0.005 wt. %) result in alloys that are not useful for directionally solidified parts.

In addition, Mitsuhashi more clearly does not overlap with claims 1 or 12 for Zr content. Zr levels, according to Mitsuhashi, must be below 5 ppm (~0.0005 wt % - page 7,

lines 1 – 8), or else the melting temperature of the alloy will be too drastically lowered, adversely affecting the ability to heat treat the part. In contrast, the alloys of the present invention covered by claims 1 and 12 exhibit significantly higher Zr contents (e.g., page 6, Table, Mod4).

Moreover, Mitsuhashi does not teach or suggest any oxidation or corrosion resistance values, let alone the improved (unexpectedly so, given the similarity of the compositions values of present independent claims 1 and 12.

For at least the foregoing reasons, Applicants submit that Mitsuhashi does not teach or suggest the invention as set forth in independent claims 1 and 12. The dependent claims further define the inventions of their respective independent claims, and are thus deemed further patentable. At least with reference to B and Zr content, Applicants respectfully submit that the references to In Re Peterson, etc are not apposite.

c. Whether the Examiner properly rejected the claims for double patenting over commonly assigned application US2004/0200459 ?

While the Applicants are unsure about the amount of information available to Examiner on the USPTO databases, Applicants note that: (1) the inventions were commonly owned at the time the present invention was made, and (2) the inventors on the '459 application are the same as the inventors on the present application.

For at least these reasons, Applicants respectfully submit that this ground of rejection has been overcome.

### VIII. *Claims Appendix*

The status of all claims and the text of pending claims, with markings to show current changes relative to the immediately prior version, follows.

1. (previously presented) A directionally solidified article having more than one crystal comprising a high strength, corrosion and oxidation resistant nickel base superalloy which comprises a matrix and from about 0.4 to 1.5 vol. % of a phase based on tantalum



carbide, the alloy consisting essentially of, in weight percent, of: 10 - 13.5% chromium; 8 - 10% cobalt; 1.25 - 2.5% molybdenum; 3.25 - 4.25% tungsten; 4.5 - 6% tantalum; 3.25 - 4.5% aluminum; 3 - 4.75% titanium; 0.0025 - 0.025% boron; up to about 0.05% zirconium; 0.05 - 0.15% carbon; and having no intentional addition of niobium; no intentional addition of hafnium; and

balance essentially nickel; wherein aluminum + titanium is between about 6.5 - 8%; said article having at least comparable hot corrosion resistance (measured at 1600° F.) and at least twice the oxidation resistance (measured at 2000° F) when compared with a directionally solidified having a nominal composition of 14 Cr, 4.9 Ti, 1.5 Mo, 3.8 W, 2.8 Ta, 3 Al, 9.5 Co, 0.01 B, 0.02 Zr, 0.1 C, and balance Ni.

2. (original) The article of claim 1, wherein the article comprises a columnar grain, directionally solidified article.

3. (original) The article of claim 2, wherein the article has transverse ductility in excess of 5% at 1400° F and at 1800° F.

4. (canceled) The article of claim 1, wherein the article comprises a single crystal article including a high angle boundary of up to at least about 20°.

5. (original) The article of claim 1 having stress rupture resistance sufficient to ensure that a load of about 27 ksi applied ruptures only after more than 45 hours, and also has a time to 1% creep of more than 15 hours, at 1800° F.

6. (original) The article of claim 5, wherein stress rupture occurs only after more than 85 hours.

7. (original) The article of claim 1, having 11 - 13% chromium; 8.25 - 9.75% cobalt; 1.5 - 2.25% molybdenum; 3.4 - 4.3% tungsten; 4.7 - 5.5% tantalum; 3.3 - 4% aluminum; 3.75

- 4.3% titanium; 0.008 - 0.025% boron; up to about 0.04% zirconium; 0.04 - 0.15 carbon; wherein aluminum + titanium is between about 7 - 8%.

8. (original) The article of claim 1, having about 12% chromium; 9% cobalt; 1.9% molybdenum; 3.8% tungsten; 5% tantalum; 3.6% aluminum; 4.1% titanium; 0.015% boron; 0.025% zirconium; 0.10% carbon; up to about 0.02 Zr and having no intentional addition of niobium; no intentional addition of hafnium; balance essentially nickel.

9. (original) The article of claim 1, wherein the article comprises a gas turbine engine component.

10. (original) The article of claim 9, comprising a turbine blade or vane.

11. (original) The article of claim 1, further characterized by oxidation resistance at 2000° F of roughly 2.5X, and creep rupture life at 1400° F of roughly 2.4X and at 1800° F of at least roughly 1.5X a similar article having a nominal composition of 14 Cr, 4.9 Ti, 1.5 Mo, 3.8 W, 2.8 Ta, 3 Al, 9.5 Co, 0.01 B, 0.02 Zr, 0.1 C, and balance Ni.

12. (previously presented) A high strength, corrosion resistant, nickel base superalloy adapted for use in columnar grain directionally solidified articles, comprising in weight percent of about 12 % chromium; 9 % cobalt; 1.9 % molybdenum; 3.8 % tungsten; 5 % tantalum; 3.6 % aluminum; 4.1 % titanium; 0.015 % boron; 0.1% carbon; and having no intentional addition (and in any event less than about 0.02%) zirconium and no intentional amount of niobium; balance essentially nickel and incidental impurities, and wherein aluminum + titanium is about 7.7 %; and including a matrix containing from about 0.4 to 1.5 vol. % of a phase based on tantalum carbide, the article is characterized by oxidation resistance at 2000° F of roughly 2.5X and creep rupture life at 1400° F of roughly 2.4X compared to a similar article having a nominal composition of 14 Cr, 4.9 Ti, 1.5 Mo, 3.8 W, 2.8 Ta, 3 Al, 9.5 Co, 0.01 B, 0.02 Zr, 0.1 C, and balance Ni.

13. (original) The alloy of claim 9, comprising a gas turbine engine component.

14. (original) The article of claim 13, comprising a turbine blade or vane.

IX. *Evidence Index*

None.

X. *Related Proceedings Index*

None.

The Notice of Appeal was filed March 18, 2005. Applicants petition for a two month extension of time to file this response. Please charge our Deposit Account No. 21-0279 in the amount of \$450. for the petition fee. Applicants believe that there are no other fees due for submitting this response. Please charge our deposit account for any other fees due.

For at least the foregoing reasons, Applicants submit that the independent claims 1 and 12 and their respective dependent claims are allowable over the prior art of record. The Examiner is invited to contact the undersigned if there are any questions.

Respectfully submitted,

A handwritten signature in black ink, appearing to read 'F. Tyler Morrison', with a stylized flourish at the end.

F. Tyler Morrison  
Registration Number 36,220  
Attorney for Applicants

Pratt & Whitney  
Patent Department  
Mail Stop 132-13  
400 Main Street  
East Hartford, CT 06108  
Voice: 860.565.3120  
Fax: 860.557.9883